

FAIRBANKS JUVENILE RECIDIVISM CASE STUDY:
A COMPARISON OF CRIMINOGENIC NEEDS
AND CASE PLANNING
OF RECIDIVISTS AND NON-RECIDIVISTS

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Abstract

Research has shown that addressing criminogenic needs of offenders, both juvenile and adult, can reduce the likelihood of recidivism. Utilizing the Risk Need Responsivity theory (Andrews, Bonta, & Hoge, 1990; Andrews, Zinger, et al., 1990), the hypothesis for this small case study of youth recidivist and non-recidivists in interior Alaska was developed to compare data to determine if what is identified in research models to reduce recidivism correlated to what was applied in practice with juvenile offenders. Specifically this comparative case study intended to show that youth who had case plans which were identified to be “inadequate,” that they had fewer than 75% of the identified criminogenic needs from their YLS/CMI addressed on their case plan, would be more likely to recidivate. Further, youth who had case plans which were identified to be “adequate,” that they had greater than 75% of their identified criminogenic needs from their YLS/CMI addressed on their case plan, would be less likely to recidivate. The case study also compared case plans of recidivists and non-recidivists in the use of dynamic criminogenic needs and any subsequent impact on recidivism. After the statistical analysis of both the efficacy of case plans addressing individual criminogenic needs as well as the efficacy of case plans addressing dynamic criminogenic needs and their impact on reduction of recidivism, only the later analysis of dynamic criminogenic needs was able to reject the null hypothesis; that inclusion of criminogenic needs on a case plan has no impact on recidivism.

Table of Contents

	Page
Signature Page.....	i
Title Page.....	iii
Abstract.....	v
Table of Contents.....	vii
List of Charts.....	viii
Introduction.....	1
Literature Review.....	4
Methodology.....	20
Testing.....	27
Experimental Design/Analysis of Data.....	27
Conclusion and Recommendations.....	38
References.....	42
Appendix.....	46

List of Charts

Page

Chart 1: Efficacy of Case Plans (Individualized Targets Correspond to YLS Outcome.....	29
Chart 2: Efficacy of Case Plans (Dynamic Factors Utilized).....	31
Chart 3: Level of YLS Upon First Entering DJJ System.....	32
Chart 4: Case Plan Efficacy for Identified Targets (High/Very High Risk Youth).....	34
Chart 5: YLS Level of Youth With Other Case Plans.....	35
Chart 6: Other Case Plan Targets with Risk Level.....	36
Chart 7: Other Case Plan Targets with Low Risk Level.....	37

Introduction

States throughout the nation spend hundreds of thousands to millions of dollars each year on the supervision and rehabilitation of juvenile offenders while under community probation. In one study conducted in 1998, Professor Mark A. Cohen of Vanderbilt University highlighted the cost of failing to provide adequate supervision and treatment to youth noting that “preventing a youth from adopting a life of crime could save the country between \$1.7 and \$2.3 million.”ⁱ This study was conducted almost two decades ago and could clearly, in today’s economy, be considerably more. But, how do we know “what works” when supervising youth offenders in order to prevent their re-offense? In times of both federal and state budget concerns, the money being spent on the supervision and rehabilitation of juvenile offenders should hold a belief that what juvenile justice professionals are doing has the potential to prevent re-offense. As a society, we should care that the supervision of youth is more than just a mere check in on a scheduled date but rather that evidence based practices are utilized to prevent re-offense. Without this, the person who is the victim of that youth’s re-offense could be you. Take for instance a young man who, at 18 years of age, stabs two of your friends after a college party. You know this person from high school and know they were mean, troubled, and intimidating. During the assault, this individual seriously injures one and almost kills the other person you know. You ask yourself, “What could have been done with this person as a juvenile to prevent this from happening to your friends?” This is my story and the reason I became interested in working in the juvenile justice field. I wanted to be that person to work with juveniles and help prevent them from committing future crimes.

In order to assist in preventing delinquent youth from adopting a life of crime, juvenile justice professionals must ensure necessary services are provided to prevent youth from committing further crimes while also providing for protection of the public. Specifically within the State of Alaska, the average cost per day of probation supervision in Fiscal Year 2014 (FY14) was \$48.94 with an annual cost of \$17,863.10 per juvenile.ⁱⁱ If a youth was unsuccessful on supervision and subsequently received an order from the court for treatment within a locked facility, the average daily cost increased to \$644.86 with an average annual cost of \$235,373.90 per juvenile.ⁱⁱⁱ Based on these identified figures, in addition to better outcomes for juveniles and community protection, states have a cost benefit in providing necessary services to prevent re-offense.

The State of Alaska entrusts the Division of Juvenile Justice under Title 47.12 to address delinquent crimes committed by youth when they are under the age of eighteen, however the Division can retain jurisdiction of these youth for the purposes of supervision and rehabilitation until age nineteen. The mission of this juvenile justice agency is to hold juvenile offenders accountable for their actions, promote the safety and restoration of victims and communities, and assist offenders and their families in developing skills to prevent crime.^{iv} In approximately 24% of those delinquency referrals to the Division of Juvenile Justice, formal court action is taken.^v Juveniles can then have their adjudication held in abeyance, be placed on court ordered probation, or ordered to a locked treatment facility for up to two years or a period of time not to exceed their nineteenth birthday.

When a youth's adjudication is held in abeyance or they are placed on formal court probation or supervision, the Division of Juvenile Justice utilizes the Youth Level of Services – Case Management Inventory (YLS/CMI) to assess their risk for future re-offense, provide a level to supervise the youth in the community, and identify services to address the high areas of need that are to be incorporated into the case plan. The YLS/CMI was developed by R.D. Hoge, PhD and D.A. Andrews, PhD and research on its validity has been completed by the University of Cincinnati Corrections Institute (Andrews et al., 1990). Research has shown that both static factors (those that are related to risk and do not change) and dynamic factors (those that are related to risk and can change) are both important in assessing risk. Dynamic risk factors are also called criminogenic needs. Research has shown that addressing these criminogenic needs can change the probability of recidivism and ultimately lead to increased public safety.

While all individuals have needs, criminogenic needs, as defined by Andrews and Bonta (1998), are dynamic attributes of offenders and their circumstances that, when changed, are associated with reduced rates of recidivism (Andrews and Bonta, 1998, and Ward et al., 2003). Criminogenic needs are also a set of factors that can predict recidivism. It is these criminogenic needs where focus should occur to target interventions in an effort to reduce the youth's likelihood of re-offense. These areas of criminogenic need are based off of past research in psychology and criminal offending (Ward et. al, 2004).

Accurate assessment utilizing the YLS/CMI will identify the high areas of risk for a youth through the use of the validated tool, which includes a structured interviewing and scoring guide. This, in turn, allows the probation officer, youth, and parent/caregiver an opportunity to

develop a case plan to adequately address those areas of risk. The use of a case plan in tandem with the YLS/CMI documents the strategy that defines the sequencing of these targets and the specific action steps that will result in their achievement (Carey, 2010). Case plans should change as offender conditions and needs change based on the YLS/CMI assessment tool and should represent a deliberate strategy for addressing the issues that will lead youth toward success (Carey, 2010).

I have worked in the field of juvenile justice for the State of Alaska for almost 19 years in both rural and urban probation settings. In this capacity I have both directly supervised juvenile offenders and supervised Probation Officers who work with these youth, allowing me two slightly different perspectives within the juvenile justice field. Over the years, it has been common for both my colleagues and me to routinely recognize the names of adult offenders who were previously involved with the juvenile justice system. This is disappointing for me on many levels. First, many staff within the juvenile justice system choose this career field because they want to make a difference in the lives of delinquent youth. A substantial amount of time and energy is put forth in working with these youth, their parents/guardians, and out-of-home care providers to help them achieve success. It can be disappointing for staff to work so hard with these youth only to see them reoffend as young adults after they are outside of our jurisdiction (age 18 or 19) and begin a criminal career that leads to incarceration with the Department of Corrections. Beyond the emotional and professional impact on juvenile probation staff, there is a monetary impact to the overall Division of Juvenile Justice. As stated previously, the annual cost of probation supervision for a youth is over \$15,000. The question could be raised; if effective supervision of youth to impact change does not occur, is this a waste of staff time and agency funds? For a youth who has been involved with the juvenile justice system in excess of five years for example, to include community probation, periods of detention, out-of-home treatment, and ultimately locked treatment, the amount of time and money spent by the agency or other funding sources can be extreme, potentially reaching an excess of half a million dollars. Speaking from personal experience, a devastating outcome for a juvenile offender and their family, as well as their probation officer, is when the juvenile's criminogenic needs are not adequately addressed and they continue to involve themselves in high risk behaviors ultimately resulting in their loss of life. While this has only happened once during my career, it is hard for a probation officer not to reflect on their responses to the juvenile's behaviors while under

supervision or in custody and ask the question that will never be answered, “what if I had tried something different?”

In the sections to follow, I will review the literature surrounding several theories of criminology as well as effective efforts to rehabilitate offenders. This will help to answer the question: How do we know “what works” when supervising youth offenders in order to prevent their re-offense?” I will also summarize a methodology that includes archival case study of closed probation files of recidivists and non-recidivists reviewing the use of the YLS/CMI in preparation of case planning to rehabilitate youth offenders in the State of Alaska. After providing this background, I will evaluate the data from the case review and determine if there was an identifiable difference in the case plans between recidivists and non-recidivists. This case study has the potential to also identify other factors that might impact recidivism for youth and are unique in the State of Alaska. I will end the paper with some discussion of this analysis of the case study and a list of recommendations.

Literature Review

There have been many theories developed by researchers over the years in an effort to identify why individuals commit crimes so that in turn, efforts can be made to prevent the commission of crime. Marxism, based on the beliefs of Karl Marx (1818-1883) who was a social scientist during his time, presents a social control theory where class struggle is to explain why individuals commit crime. Marx suggested that people are divided according to whether they owned the Means of Production (Capitalists, or Bourgeoisie); or, worked for the Capitalists (workers are known as the Proletariat). This relationship creates a condition where workers no longer control their labor nor the excess value of their labor. Capitalists take most of the excess value, often leaving workers without enough credits to survive. Capitalists move jobs where labor is cheaper creating unemployment in some places; and, they may also hoard capital so that there is inadequate investment in the market to stimulate full employment. Not having control of their labor leaves workers with a feeling of emptiness that Marx identified as “alienation.” One response to alienation is conflict with the Bourgeoisie. Controlling wealth gives the Bourgeoisie the ability to define this conflict as criminality. (Hughes et al., 2003).

In summary, Marxists believe that crime and deviance are defined by the class of people who are in “ruling status” (Capitalists, or Bourgeoisie) and use those definitions as a means of social control. Marxists also believe that white collar crimes are virtually ignored because they have a tendency to be committed by the upper class (powerful members of society). On the contrary, those crimes committed by individuals having less power in society are the crimes viewed as more serious offenses and are subsequently punished more harshly. Lastly, Marxists also believe that working class or those in society with less power are “policed” more heavily than those in power, which actually increases the chances of those types of crimes being detected (HistoryLearningSite, 2014).

Emile Durkheim (1858-1917) also identifies something similar to “alienation”, but which he calls “Anomie”. Durkheim identifies a state of “normlessness” where the post-modern condition leaves individuals disconnected with their role in their community. Instead of being a valuable and important part of the community as say the “shoe maker”, the individual may now just push a button that makes a small part of the shoe. While automation increases productivity, it devalues the individual’s contribution. For Durkheim, it is anomie that causes individuals to engage in all manner of anti-social and anti-cooperative behaviors, including things like suicide and crime. Durkheim further suggests that crime has a function in society, not least of which is that criminals show others “what not to do” (Hughes et al., 2003).

Max Weber similarly identifies “alienation” as a serious after effect of post-modern social organization, but he asserts that its cause is the increased bureaucratization of our societies. It is this “Iron Cage” of bureaucracy that is the paradox of modern life: while none would give up the benefits of modern life, the rigid nature of bureaucracy means that we must give up individuality, freedom, liberty and a certain amount of justice in order to gain access to these modern rewards (Hughes et al., 2003).

Robert Merton (1910-2003) perhaps sums these early theorists best with his conflict theory in that Merton gave us a model, at least in America, where we place more emphasis on the ends of “Power, Wealth, and Status” [the “Valued Resources” that Weber identifies as being necessary to have more control over one’s destiny (and control over others)], than the value we place on honorable means to attain these resources. Thus, while many people work hard, with few attaining our definition of success; others become innovators or rebels. In other words, we

have successful and unsuccessful conformists, but we also have innovators who choose crime; and, rebels that attempt to disrupt the system (Merton et al., 1996).

Application of social control and punishment for breaking these social controls was a means that crime could be controlled. Also inherent in a social control theory is that other institutions such as within families, the workplace, schools, churches, and other social organizations help to support the acceptance of these social controls. Travis Hirschi also contributed to the social control theory proposing that delinquents fail to form or maintain a bond to society consisting of attachment, commitment, involvement and belief (Wiatrowski et al., 1981).

Robert Agnew's "General Strain Theory" (GST) is another theory of crime and criminology. This theory focuses on "how objective experiences, subjective interpretations, and emotional reactions can all be linked to crime" (Barton, 2008). There is also an emphasis placed on how "negative" objective experiences can lead to criminal behavior. GST also has Agnew distinguish between objective and subjective strains; objective being those that are conditions primarily disliked by most members of a group with subjective being those that are disliked by the specific individuals experiencing them (Agnew 2001, 2006, and Barton, 2008). Other elements to the GST observed by Agnew are that "strain will more likely result in crime when it is viewed as unjust when it 'involves the voluntary and intentional violation of a relevant justice norm' (2001:329); and when people 'believe their strain is undeserved' (2001:330)." Lastly, Agnew also believed that the impact of strain on an individual can vary depending on the "severity or magnitude, duration, recency, and centrality" (Barton, 2008). Agnew identified the primary sources of economic strain that significantly impact crime as being "unemployment, relative deprivation, and monetary dissatisfaction" (Agnew, 2001, 2006). In other words, Agnew suggests that crime occurs because of the social-psychological processes by which individuals and groups perceive that they are treated differently, unfairly, and unjustly.

Social Learning Theory is based on the belief that behavior is shaped by the stimuli that follow, or are consequences of the behavior (Akers, 1977 and 1979). At its most basic level, people learn to commit crimes and are motivated to do so by those with whom they associate. These behaviors are strengthened through rewards (positive and negative reinforcement) and weakened by punishment. Also, that people learn through their interactions with significant groups or individuals in their lives (Akers, 1979).

The Chicago School of Sociology developed a three-part theory of crime that suggested Social Disorganization as a mechanism for transmitting ideas and behavior; Strain Theory as an impetus explaining why it happened; and, Deviant Subculture to suggest that these resulted, over time, with a subculture that believed these behaviors were legitimate and “right” ways of leveling the playing field. Within this context of social learning theory, Differential Association theory, developed by Edwin Sutherland, holds that “criminality is learned in interaction with others in a process of communication” with the “hypothesis that criminality is learned from observations of definitions favorable to law violation, the learning including both the techniques of committing crime and the ‘specific direction of motives, drives and rationalizations and attitudes’” (Sutherland, 1947 and Cressey, 1954). For example, Sutherland described social processes that indicated that we were learning values and actions according to how much we respected our teachers and by how much time (differential) that we spent with them. To the extent that we valued/respected them and spent a good amount of time with them, we would expect to see ideas and behaviors duplicated. This was an important discovery before Akers and Robert Burgess came along and re-worked the theory from a developmental psychology framework.

Deviant Subculture, first introduced by Emile Durkheim (1891) and the Chicago School of Sociology (1921), is also supported by several researchers that have also contributed to this explanation of crime, the most prominent being Cohen’s Lower Class Reaction Theory (1955), and Cloward and Olin’s Differential Opportunity Theory (1960). Durkheim proposed that social and economic conditions in certain social spaces (most often, urban environments) create a “divided class system where individuals are constrained to behave and respond to life events in nonconventional ways” (Durkheim, 1893 and Topalli, 2006). This class of individuals, not of mainstream society, possesses distinctive shared values and cultural practices (Blackman, 2014). These shared values and practices are ones that encourage criminal or delinquent behavior. Therefore, being a part of this subculture subsequently increases the chances that an individual will participate in criminal or delinquent behavior. This theory of subculture has been defined deviants as subnormal, dysfunctional, dysfunctional, delinquent, resistant, and consumerist (Blackman, 2014).

Albert Bandura (1977) also contributed to the Social Learning Theory with his work that individuals learn from their environment through observational learning. Bandura identified that

children learn from “models” around them and that they will model those behaviors from individuals who they see as “similar” to themselves. Further, those individuals around that child will respond to the behavior with rewards and consequences (McLeod, 2011).

The theories of Deterrence and Rational Choice can both be categorized under the Social Learning Theory in criminology because of their association with positive and negative reinforcements to a behavior. The theory of Deterrence can be linked to early philosophers such as Thomas Hobbs (1588-1678), Cesare Beccaria (1738-1794) and Jeremy Bentham (1748-1832). This theory assumes that individuals will assess the “net utility of engaging in a prohibited behavior by weighing the expected gain against the expected punishment, with the latter weighted by the certainty of being caught and discounted by time to receipt of punishment” (Schneider, 1990). This theory applies a utilitarian philosophy that judges the consequences to an act. Rational Choice theory also applies a utilitarian philosophy but with an economic cost. Specifically, with the rational choice theory, an individual takes the benefits and costs of an action into consideration, but the decision is made that “maximize payoffs and minimize costs” (Akers, 1990). Every individual has inherent preferences and learned preferences for both the payoffs and the costs; and, these also influence behavior.

The Neutralization theory of criminology was proposed by Sykes and Matza in 1957 as an argument against the Deviant Subculture theory. The neutralization theory argued that even though individuals are involved with offending behavior, delinquents have a “strong bond to conventional society and want to perceive themselves as ‘good’” (Topalli, 2006). Because of this desire to be good, they begin to justify their offending behavior by using “neutralization” techniques to remove their guilt before committing crimes and providing justification for the offense after the crime has been committed. Sykes and Matza identified five techniques that this guilt is neutralized; denial of responsibility, denial of injury, denial of the victim, condemnation of the condemners, and an appeal to higher loyalties.

The Life Course Theory of criminology proposes that there are “continuities and discontinuities in behavior over time and the social influences of age-graded transitions and life events” with the idea that crime is committed disproportionately by adolescents with high crime rates peaking in late teenage years and then declining with age (Sampson et al., 1992). Further that “aged-graded transitions are embedded in social institutions and are subject to historic change (Edler, 1975 and 1991 and Sampson et al., 1992). The two ideas behind the Life Course

theory relate to trajectory and transition. Trajectory is the “pathway” over a life span and transition is the “firsts” that occur in the life span. When analyzing the life course theory to crime, there is a focus on “duration, timing, and ordering of major life events and their consequences for later social development” (Sampson et al., 1992). Therefore, the Life Course theory explains that our behaviors are shaped by the events in our lives; however, a life on a course of crime tends to stay on a course of crime and is impacted at several points based upon friendships, relationships (romantic), and employment. In other words, individuals can be positively influenced, and, if fortunate to find emotional support and economic stability will tend to transition away from criminal activity over their life-course.

The Master Trait theory of criminology refers to human development and that this development is controlled by a “master trait” that is present at birth or soon thereafter. There are differing opinions from criminologists as to whether or not this master trait is unchangeable or changeable based on situations that occur in an individual’s lifetime. Suspected traits include “defective intelligence, impulsive personality, and lack of attachment” (Siegel et al., 2010). Master Trait can also be correlated with General Strain Theory with researchers identifying that certain master traits, negative emotionality and constraint, affect how one responds to strain (Agnew et al., 2002). Individuals who are found to be high in negative emotionality are more likely than others to experience events as aversive, to attribute events to the malicious behavior of others, and to respond to these events in an aggressive or anti-social manner (Agnew et al., 2002). Individuals low in constraint are more likely to respond to incidents in an impulsive manner that includes delinquent impulses. (Agnew et al., 2002). This is important because it suggests that even master traits may be vulnerable to influence; and able to be managed if identified and monitored by outside help. I’ll return to this idea below when I summarize the importance of theory to my research.

The Storyline theory of crime refers to a temporary limited, interrelated set of events and conditions that increases the likelihood that individuals will engage in crime or a series of related crimes (Agnew, 2006). These storylines begin with an abnormal event that happens to the individual. This event temporarily affects the characteristics of the individual, the individual’s interactions with others, and/or the settings encountered by the individuals’ interactions with others, and/or the settings encountered by the individual in ways that increase the likelihood of crime (Agnew, 2006). The negative response to the event is the middle of the storyline when the

person may or may not participate in a criminal act. The end of the storyline when some event “restores the individual’s level of strain, social control, social learning for crime, opportunities for crime, and individual characteristics to their prior levels” (Agnew, 2006). This theory is also important to my research because it shows the importance of providing tools and resources to offenders so that the opportunity to be confronted by the strain event is reduced; and, more resources and better coping mechanisms exist in and for the individual to resist forces that might push them towards a criminal event.

The Labeling theory was created by Howard Becker and presents that the label of a criminal status on a person may increase the probability of that individual becoming involved in a delinquent subgroup (Bernburg et al., 2006). Edwin M. Lemert further developed this theory with his presentation of primary and secondary deviance. Primary deviance, according to Lemert, is a departure from a social norm but poses no long-term consequences for the offender. This type of deviance does not result in any label being placed on the individual and might be illustrated as the “smoking in the boys room behavior”, but goes unnoticed, thus, the offender is still considered to be an upstanding citizen, nerd, jock, etc. Secondary deviance, according to Lemert, is the behavior, which when repeated or becomes progressively worse, begins to receive a stronger or more punitive reaction from society. If these behaviors result in societal penalties which are strong enough to cause stigmatization, secondary deviance can result (Rosenberg, 2010). This condition transcends the earlier “naughty” behavior and leads to the offender being labeled as part of a negative group within society. Once an individual is labelled a criminal or delinquent, society begins to respond to them as such and the individual in turn begins to identify with that stereotype and responds with behaviors appropriate to that label or stereotype. Once the label is applied and those around the offender begin to treat them differently, they settle into the negative role and engage in more deviant and/or illegal behavior.

At its most basic level, the idea that I propose is that there are many identified causes of crime, and we should expect additional explanations to be forthcoming into the future. And, while we may not fully understand the individual traits, characteristics, environmental, social, and/or genetic influences on criminality, we do have a good handle on those factors that seem to be most correlated with return to criminality or predicting recidivism. Given this, improved tools and methods of mitigating these factors should lead to improved outcomes in juvenile corrections and probation. Some of this literature is broad and applied to largely urban social

groups, with little direct research analogous to many rural Alaskan communities. Because of this, this research will be vigilant to point out differences and discrepancies that may need to be addressed and the subject of further research in order to refine or change tools that, though successful elsewhere, are not well-suited for conditions in Alaska.

It is important to recognize that addressing criminality and reducing recidivism, which is the basis for my case study, is flexible and has the ability to adapt as we learn more about these important social issues. The Fairbanks recidivism case study is based on identified factors, which can be measured to predict recidivism, and therefore employ efforts to reduce the likelihood of re-offense. For the purposes of developing the hypothesis for my recidivism case study, three core ideas were identified. First, that identification of risk and need with juvenile offenders as well as effectively addressing these areas of risk is important in reducing recidivism. Second, that creating a case plan that effectively provides interventions towards individual risk areas will assist in supervising youth and reducing the likelihood of recidivism. And lastly, that specific evidence-based programs or concepts have been identified to impact high criminogenic needs and subsequently reduce recidivism. A review of the research making up these core ideas will follow.

Within the criminal justice field, there is belief and supporting research that recidivism can be predicted and can be impacted or reduced through the use of specific targeted interventions. Much of this research is based on the Risk-Need-Responsivity model of assessment and rehabilitation. This model, first formalized by Andrews, Bonta & Hoge (1990), has been “elaborated upon and contextualized within general personality and cognitive social learning theory of criminal conduct” (Andrews & Bonta, 2006). Since its formalization in 1990, the risk-need-responsivity model has only grown stronger through its design and implementation of effective interventions, such as: “the importance of staff establishing collaborative and respectful working relationships with clients; and, correctional agencies and managers providing policies and leadership that facilitate and enable effective interventions” (Andrews, 2001; Andrews & Bonta, 2006; Andrews & Dowden, 2007). The initial step in this model is identifying risk and needs to be addressed through the use of a validated assessment tool.

The Youth Level of Services/Case Management Inventory (YLS/CMI) tool, for example, was validated through a sampling of institutionally based and community based sentenced youth in Ohio (n=3,776 for institutionally based sentenced youth and n=1,106 for community based

sentenced youth) (Bechtel et al., 2007). While there can be question as how youth in Ohio compare to youth in Alaska, the YLS/CMI assessment tool includes eight measures into the instrument that are based on a review of research (Hoge 2001; Bechtel et al., 2007) and maintains that these factors are correlated with delinquency (Farrington, 1997; Lipsey & Derzon, 1998; Loeber & Dishion, 1983; and Bechtel et al., 2007). Based on these identified factors which contribute to delinquency, it is reasonable to believe that these factors will be similar in comparison between youth in Ohio and Alaska in predicting recidivism. The last step in this model, responsivity, refers to tailoring an offender's ability to change from interventions to their "learning style, motivation, abilities and strengths" (Andrews & Bonta, 2007). Also important is the consideration of barriers which prevent the youth from receiving the interventions. Therefore, the probation officer, the youth, and the parent work together to use the information gathered from the assessment, and the expertise of those who understand the youth's motivations and learning style, to develop a course of action to address areas of criminogenic need.

The use of the YLS/CMI by the Division of Juvenile Justice is an effective tool to measure both the level or risk of the juvenile and to identify the criminogenic needs to be addressed in order to reduce the likelihood of recidivism specific to that individual. As stated in the introduction, the YLS/CMI was developed by R.D. Hoge, PhD and D.A. Andrews, PhD and research on its validity has been completed by the University of Cincinnati Corrections Institute. Specific to risk, this assessment can identify both community protection risks and subsequent supervision standards, as well as assist the justice professional in identifying appropriate interventions based on these levels of risk. The research has shown that both static factors (those that are related to risk and do not change) and dynamic factors (those that are related to risk and can change) are both important in assessing risk. Dynamic risk factors are also called criminogenic needs. It is these dynamic criminogenic needs where focus should occur to target interventions in an effort to reduce the youth's likelihood of reoffense. The seven dynamic areas of risk on the YLS/CMI are:

1. Family Circumstances and Parenting;
2. Education/Employment;
3. Peer Relations;
4. Substance Abuse;
5. Leisure/Recreation;

6. Personality/Behavior; and

7. Attitudes/Orientation.

The static risk factor included in the YLS/CMI is Prior and Current Offenses and are static because they are based on current or historic offense information that, regardless of interventions, will not change on future risk assessments. These eight areas of criminogenic need were based off of past research in psychology and criminal offending.

A challenging belief to the idea of criminogenic needs is that they are, in fact, not needs at all but rather they are barriers to an offender's improved quality of life (Ward & Stewart, 2003). Ward and Stewart also argued that the focus of rehabilitation with offenders should have the ultimate goal of improving the lives of offenders, not the goal of community protection and reducing recidivism. Their argument is that these two outcomes will undoubtedly follow when you implement rehabilitation programs with the goal of improving lives of offenders. While I agree with Ward and Stewart's critique of the "term" criminogenic needs, whether you look at them as a need or a barrier is not the point. The point is that whether you see them as barriers to an improved quality of life or criminogenic needs, they are ultimately areas that require targeted interventions. Providing intervention is imperative in order to reach the desired goal whether that be improvement of offenders' lives, recidivism reduction, or community protection. In the end, all of the goals can potentially be met.

From an offender point of view, perhaps there is more significant buy in to a case plan or service strategy if the goal is something that both the offender and Probation Officer want versus the goal from just the Probation Officer of preventing re-offense and protecting the community. The later approach can have an offender believe that the only reason the probation officer is working with the offender is because a) it is their job and b) the offender is placed lower on the level of importance to the Probation Officer. This is also consistent with the idea behind responsivity regarding a "relationship principle," further explained as "establishing a warm, respectful, and collaborative working alliance with the client" (Andrews & Bonta, 2007) and may have a symbolic value to the offender. I think that in general, the juvenile justice system already takes the approach to improve juveniles' and their families' lives by developing their competencies to prevent further crime. Then again, this part of the Alaska Division of Juvenile Justice's mission statement, although recognizing the competency development related to

criminogenic needs, still lays out an ultimate goal of preventing further crime, not improving the lives of the offender and the family.

Using the YLS/CMI assessment tool is the “means” to assist the probation officer in identifying the criminogenic needs to target with interventions. The primary ends-means body of evidence for this research mainly lies with the research conducted by Bechtel, Lowenkamp, and Latessa. These researchers explain the use of the YLS/CMI and bring more of the ends-means pattern into play when it identifies that the specific tool will assist agencies with developing treatment and service plans according to an offender’s criminogenic needs. Without the use of a validated risk assessment, justice professionals are taking a “shot in the dark” as far as what truly are the areas of criminogenic need that should be addressed. This approach was actually considered as the “first generation of risk assessment” as “professional judgement” and was recognized in the early 20th century. Worse yet is the belief that solely using the assessment to identify risk and subsequent supervision standards is truly sufficient in affecting any impact on reoffense.

While the YLS/CMI is a validated assessment, a question could be raised, at least for Alaska, is how do the youth throughout Alaska compare to that of Ohio? Is this a sample to population pattern that can be applied from youth in Ohio to youth in Alaska? While the previous question is definitely important, perhaps equally as important is in relation to the area of criminogenic risk in comparison between Ohio and Alaska. Could there be a change in the risk score based on the lack of available resources in rural Alaska? For instance, some rural communities do not focus on education in the same manner as urban cities and employment opportunities in rural Alaska can be limited. Does that mean these youth in rural communities are more likely to reoffend because they do not have the option of working at McDonalds as do youth in larger Alaska cities? Also, leisure and recreation activities are often times less available in some rural Alaska communities or not identified in “traditional” forms (such as might be identified on a standardized “scoring guide” for the assessment tool).

The risk-need-responsivity model is not fully utilized, in my opinion, in an effort to effectively reduce recidivism. Inherent in an assessment is identifying risk that impacts both supervision of offenders in the community and subsequently community protection, but also helps to guide criminal justice professionals in appropriate interventions. This begins to encompass the area of responsivity. For example, much research has identified that providing

more intensive interventions to low risk offenders can actually increase re-offense (Andrews, Bonta, and Hoge, 1990; and Lowenkamp & Latessa, 2005), incorporating the labeling theory of criminology, versus higher risk offenders where it does impact re-offense more positively. There is also supporting research on the number of targeted criminogenic needs and subsequent reduction in recidivism (Lowenkamp et al., 2006) as they relate to both correctional and community-based interventions. There must also be consideration of learning styles of offenders and barriers to obtaining the interventions to be effective.

My professional evaluation of the risk-need-responsivity model and the application of it through the literature is that there is more focus by justice professionals on risk and need versus taking into account responsivity. For instance, low risk offenders who are referred to community-based residential programs might not be as effective in addressing recidivism (and as research shows can actually create the reverse effect) as moderate to high-risk offenders. For criminal justice professionals, referring a youth to residential treatment can address the criminogenic needs of that youth. One important factor is that those criminogenic needs from the assessment must be shared with the program in order to ensure that the interventions are being applied in the correct areas, not just a cookie-cutter approach to treatment. This cookie cutter approach allows for several generic interventions to impact criminogenic needs with the hope of at least catching something that applies to the youth. The other danger with this type of intervention for low-risk offenders is that there is potential to expose them to higher risk youth (appropriately referred to these type of residential programs) and can in turn increase the low-risk offender's risk to reoffend. This belief is consistent with the premise of the social learning theory that social behavior is acquired both through direct conditioning and through imitation or modelling of others' behavior (Akers, 1979), for example, the low-risk youth imitating the behaviors of the high-risk youth with whom he/she is living within a residential program.

Much of what is provided around assessing risk, need, and responsivity is based on research and is important in impacting recidivism. One of the challenges, however, is ensuring that the staff administering these assessments are trained properly in the use of the assessment, that the document, and, its timely completion, are being reviewed by others for quality assurance, and that there is rater reliability in completion of the assessment. Addressing these challenges will ensure consistency across all offenders so that fair assessment of the needs and interventions can be completed by any competent evaluator. It is not only important for agencies to use these

assessments but to ensure that their staff are routinely trained in the administration of the assessment. For example, a staff who is inadequately trained or whose work is not receiving a level of quality assurance, can score a youth higher on the assessment. While the staff believe they are applying the correct level and type of intervention (responsivity) based on the assessment results, in fact, they are not. Their interventions based on the assessment completed without adequate training or quality assurance can in turn guide the staff in providing higher level interventions than necessary for that youth, increasing the likelihood of reoffense.

To support this thought, there is a term “correctional quackery” (Latessa, Cullen, and Gendreau, 2002) believing that some criminal justice professionals rely more on what they *think* they know as a professional versus what evidence has shown as effective interventions to target criminogenic needs. Latessa et al. identify that there is no evidence of producing change in re-offense when justice professionals provide “empirically unfounded” services to offenders and that such interventions can actually increase the likelihood to reoffend. Research was conducted measuring justice practitioners’ retained knowledge of the risk/need principle as well as evidence-based interventions (Latessa et al., 2002). Recommendations from this study were to “expand the use of interventions aimed at improving practitioner knowledge” and to “bridge the gap between empirical and practical knowledge” for justice professionals. This would lead me to believe that just one-time or yearly training for justice professionals who are tasked with assessing youth and identifying targeted criminogenic needs is not sufficient to ensure accurate assessment and effective interventions. Unfortunately, these trainings are time-consuming and can be costly when provided to justice professionals across a state as vast as Alaska. Many personnel are located sparsely throughout the state, making it costly for trainers to travel to those locations. There are also implications of having all staff attend an in-service training leaving no one to respond to urgent incidents or requiring a staff to leave the training to address these incidents. While technology allows for increased use of computer-based trainings, many staff complete these trainings in their office where they are prone to interruptions and multi-tasking, making it difficult to both see the importance of the training as well as retain the knowledge being provided.

Creating a case plan that effectively identifies interventions towards criminogenic need areas will assist in supervising youth and reduce the likelihood of recidivism. This core belief is truly the basis for my case review hypothesis. The case plan itself is identified as the mechanism

to document those intervention efforts towards addressing areas of criminogenic need in order to reduce recidivism. The Carey Group and the Center for Public Policy provide guidance on case planning by outlining steps towards effective case management. These identify the requirement that “interventions delivered to offenders are evidence-based (i.e. they adhere to the risk, need and responsivity principle) and that programs and services are available and accessible to offenders when and where they are needed.” These guidelines also support my hypothesis by calling the case plan a “roadmap – or strategy- that defines the sequencing of these targets and the specific action steps that will result in their achievement.” The guidelines were developed based on research in the area of risk, need, and responsivity with reference to researchers such as Andrews and Bonta. While the case planning guidelines identify that programs and services should be available and accessible to offenders when and where they are needed, frankly, this is unrealistic in the State of Alaska. Youth are supervised throughout the entire state with many rural communities barely having consistent access to mental and behavioral health services. Many locations have itinerant counselors who travel to these communities. When communities lack or do not have consistent access to these type of basic services, it is hard to believe that these locations will have “evidence-based programs” that research has shown is the most effective at impacting recidivism.

Consistent with the research showing effective case planning can reduce recidivism (when targeting identified areas of criminogenic need) is the belief that Probation Officers need to learn to become a “change agent” with the offender, specifically what they will need to do to help the offender change their behavior and not reoffend (Bourgon, Gutierrez and Ashton, 2011). What I appreciate most about this belief from Bourgon et al. is the implication that Probation Officers need to learn how to help offenders and I couldn’t agree more. I have been fortunate enough in close to 19 years to watch the evolution of our agency and see the importance placed on targeting appropriate interventions in order to prevent re-offense. Through this evolution, I have seen many “old dogs” who still think that solely supervising youth on supervision prevents re-offense when all evidence points to the contrary. Case plans can sometimes be viewed as just a “piece of paper” that needs to be in the file to pass a compliance audit. Further, I have seen where case plans are also not developed in conjunction with the youth and the parent. When this happens, where is the buy in from the parent or youth? Where is the accountability for them to be a part of the process in identifying interventions? The more buy in from the youth and

family the more likely they will actually follow through with the identified interventions in the plan. The Division of Juvenile Justice Policy and Procedure manual identifies that case plans should be completed with the parent and youth and should be discussed at every office visit with the Probation Officer. This direction to Probation Officers is consistent with the idea that offender's criminogenic needs can change and therefore the case plan needs to change as the offender does. Although stating my own potential bias here, I will try to mitigate this threat to validity in the next section.

Evidence-based programs or concepts have been identified to impact criminogenic needs and subsequently reduce recidivism. To be evidence-based, these programs or interventions have been evaluated in a manner proven to show their effectiveness. Because these programs or interventions have been evaluated for this effectiveness, it is important for justice professionals to use evidence-based programs in order to effectively reduce recidivism of offenders. These programs specifically identify "who to target, what to target, how to target, use of a risk/need assessment to determine risk, identification of an offender's motivation, and integration of treatment and sanctions" as being important to an offender's success. (Warren, 2007) Using these types of intervention has also been shown to be more effective than incarceration at reducing crime. While these appear to be the most effective way to impact recidivism, evidence-based practices must exist in communities before an offender can be referred to them as an intervention. As stated above, this is a problem throughout all of Alaska, not just rural Alaska. Also, for rural Alaska, these might be more of a restorative justice approach than one would see a "formalized evidence-based program" found more in urban Alaska. Some locations have no "formalized" program for addressing criminogenic needs of offenders but in turn might use more interventions that are effective on a cultural basis.

From the recidivism case study, an analysis will take place to compare the criminogenic needs identified on the YLS/CMI assessment for the specific individual and what criminogenic needs were subsequently addressed on the case plan. This is the basic belief behind the hypothesis of my case study; to review the difference between the case plans of recidivists and non-recidivists to determine if one more effectively addresses the youth's individual criminogenic needs than the other, thus reducing the likelihood of recidivism. Throughout the literature review, other important factors were also discovered that can impact the outcome of testing the hypothesis. Therefore, the case study will also examine the level of risk of the

offender as determined by both the YLS/CMI. This is important for two reasons; 1) that some youth who are low risk offenders and who did not have a “adequate” case plan might not recidivate, which is consistent with research showing low risk offenders often do not recidivate, even without intervention, and 2) that low risk youth who are brought into the juvenile justice system and exposed to higher risk youth either through oversupervision or residential care, for example, can actually increase a youth’s likelihood of recidivism. I will also review whether or not the case plan used was created by the probation officer or by an out-of-home residential provider. The importance of this review is that if results of the YLS/CMI and the criminogenic needs are not shared with a residential treatment provider, solely sending the youth to a residential program might not, in fact, reduce recidivism because the youth is provided treatment with a more “shotgun approach” and not based on their individual criminogenic needs.

In this section I have outlined the research behind both why individuals commit crime as well as effective ways to impact recidivism with offenders. As identified in the introcuton, there is a large body of evidence pointing to the idea that if we observe offenders, we will be able to identify a list of environmental, social, individual, family, and learning factors that are related to recidivism in some way. As we have seen, not all factors are equal. Some factors have a greater impact on individuals than others and therefore do not show a reliable correlation. Some individuals also have the ability to persevere and succeed no matter their environment, while others do not. This may be in the area of the unexplained much like what Hirschi argues that the most interesting question isn’t why some people commit crimes, but why most of us do not. Research has identified, however, that there are a set of fairly concrete characteristics that do seem to be consistently associated with recidivism. These dynamic factors are things like substance abuse, having a deviant peer group, and/or having dysfunctional or stressful familial groups, for example. Taking this into consideration, the juvenile justice professional can complete an assessment, which will identify these criminogenic fators, and use the information to create a case plan that specifically works with the invididualize needs of each offender. This case plan will work to teach the juvenile ways to neutralize and insulate themselves from those factors most likely to influence and lead them back to crime. The central thesis of this research is that those youth who had an accurate inventory of criminogenic needs and a case plan addressing those needs would be less likely to recidivate. Simply stated, in a health model, we would say that the doctor correctly diagnosed the disease and recommended the appropriate

treatment. Now, as I'll discuss in the chapters ahead, as in the medical field, sometimes treatments and prescriptions don't work as well as we'd hoped or they don't work the same for all patients. We don't know if this is because a particular patient didn't follow instructions; or if there is some physiological or psychological reasons why this came to be, in some cases methodology or sample sizes may not be large enough to show correlation; but we do know that in many cases, the treatment causes the patient to improve. If we could show this was reliable using a statistical model, that would lead us to continue our support of the treatment in question. This is the task that has been set by this research. In the next section I lay out a methodology to test this central idea.

Methodology

The Division of Juvenile Justice reports recidivism rates for Alaska youth on their website. More specific recidivism data was available for Fiscal Year 2007 (FY07), Fiscal Year 2008 (FY08), and Fiscal Year 2009 (FY09) and allowed for an in-depth case review of the YLS/CMI and corresponding case plans from those youth who qualified as recidivists based on Federal guidelines. (The FY07 is defined as July 1 of 2007 to June 30, 2008. Each year is defined in the same fashion.) For the purposes of data collection, the Division of Juvenile Justice defines recidivism as "new offenses within two years of the date of start or release from Division of Juvenile Justice, resulting in an adjudication or conviction." For FY07, FY08, and FY09, the statewide percentage of community based probation youth who reoffended upon release from supervision was 40.2%, 39.9%, and 39.2% respectively. In 2013, I completed a case review of a small sampling of probation files for youth meeting recidivism criteria with the Division of Juvenile Justice from FY07. Upon initial review, I found that many of these youth had case plans that did not address their specific areas of risk from the YLS/CMI and some actually addressed static instead of dynamic risk factors (also called criminogenic needs). As stated previously, criminogenic needs are specific attributes of an offender that can predict recidivism, and when changed are associated with reduced rates of recidivism (Andrews and Bonta, 1998, and Ward et al., 2003).

Based on the small sampling of cases, as well as a literature review within this area concentrating on impacting and reducing recidivism rates, I have developed the following hypothesis: 1. In a large, detailed review (n=64 cases), youth reported as recidivists on the

Division of Juvenile Justice annual recidivism data from FY07-FY09, will be less likely to have an “adequate” case plan, meaning that their individual areas of criminogenic need from the YLS/CMI assessment were not adequately addressed; and, 2. That the youth identified as non-recidivist from FY07-FY09 will be more likely to have an “adequate” case plan, meaning that their individual areas of criminogenic need from the YLS/CMI assessment will be adequately addressed. Case plans were identified as “adequate” or “inadequate” as follows:

“Adequate” Case Plan - had greater than 75% of the identified criminogenic needs from the YLS/CMI addressed on the case plan.
“Inadequate” Case Plan -had fewer than 75% of the identified criminogenic needs from the YLS/CMI (which included needs not identified on the YLS/CMI or associated with static risk factors) or had no case plan.

Therefore, if Probation Officers correctly identify criminogenic needs and develop a case plan addressing these needs, then an offender will have a reduced risk of reoffending. The null hypothesis for this case study is that there will be no difference between recidivists and non-recidivists in terms of “adequate” case plans.

H₁: If the inclusion of criminogenic needs on a case plan can be verified to be “inadequate”, then recidivism is more likely.
H₂: If the inclusion of criminogenic needs on a case plan can be verified to be “adequate”, then recidivism is less likely.
H₀: The inclusion of criminogenic needs on a case plan has no impact on recidivism.

In identifying youth for the recidivism case study, information was obtained from the Division of Juvenile Justice Research Analyst who provided a list of probation youth who were identified as recidivists for FY07, FY08, and FY09. A list of youth who were supervised during that same period of time, but had not recidivated, was also provided in order to develop the non-recidivist comparison group. In developing the non-recidivist comparison group, the gender of the recidivists was taken into consideration so that in any given fiscal year group, an equal number of male and female non-recidivists was selected to equal those represented in the recidivist group. The non-recidivists were chosen at random from the list once gender numbers

were identified. The list of individuals, both recidivist and non-recidivist, was created and the location of their archived case file was determined. It should also be noted that the cases reviewed were only for youth supervised on probation, not for youth who had received an order for locked treatment in a Division of Juvenile Justice facility, during the their period of involvement with the Division of Juvenile Justice. Information on recidivists who fit in this category is collected by the Division of Juvenile Justice but not included in this case study. Also, youth who were part of the recidivism case study could have been from either the Fairbanks community, or one of the additional fifty-eight communities or villages that fall within the jurisdiction of the Fairbanks District Juvenile Probation Office.

A data collection sheet was developed prior to beginning the case study. This includes the identification number for the specific youth from the Juvenile Offender Management Information System (JOMIS), the Division of Juvenile Justice case management database, and the age of the youth during the period of supervision. It also includes the YLS/CMI assessment score, level of risk, and whether or not there is an override used by the Probation Officer for the specified level or risk. Each of the eight areas of need (both static and dynamic) are included on the collection sheet; Offense/Dispositions, Family/Parenting, Personality/Behavior, Substance Abuse, Education/Employment, Peer Relationships, Attitudes/Orientations, and Leisure/Recreation. The next section references case plans and whether or not there is a case plan or plans for that specific YLS/CMI and whether the case plan is one created by a Probation Officer or an out-of-home care provider (identified as an “other” case plan). There is an identified section where up to four target areas on the case plan are listed and whether or not a specific target is a dynamic risk factor (one that can be changed) and corresponds to the individual youth’s YLS/CMI. During the initial development of the data collection sheet, I had intended to collect the specific services identified on the case plan, whether they were provided, the reason for any non-compliance, and whether a petition to revoke probation was filed. I later decided not to collect this information during the case review. While the information is important, it created a much larger research project than time would allow for the class. One data collection sheet was completed for each YLS/CMI for the youth during the period of supervised probation. This means a youth might have more than one YLS/CMI and provides explanation for a larger “n” size for case plan data being more than 64, the number of youth files reviewed for the case study.

Since the Fairbanks Juvenile Recidivism Case Study involves reviewing case histories of human subjects, an application was made to the University of Alaska Institutional Review Board (IRB). The IRB determined the research was exempt from the requirements of 45 CFR 46 under exemption categories four and five. The information reviewed for the case study was based on archived probation case files and information in JOMIS, not from contact or interview with human subjects.

Individual cases were then listed by the box location of their archived file. Both recidivists and non-recidivists were placed together on the list with no designation as to the category they were classified. Therefore, when the data collection was occurring, it was not known whether the youth was a recidivist or non-recidivist. However, as stated previously, because of the length of time I have been employed as a Probation Officer, there were a small number of youth whose names were recognized as reoffending in adulthood during the data collection process.

The data collection was conducted over a period of several months. Case plans reviewed were those developed by a Probation Officer on a Division of Juvenile Justice form or categorized as “other” and developed by the Out-of-Home residential treatment provider. In reviewing the case plans, the targets did not have to be the “highest” area of criminogenic need to be considered as corresponding to the YLS/CMI assessment, but just that they were at least identified as an area of criminogenic need on the assessment. The case file reviews to collect the raw data was completed by a single reviewer allowing for consistency of the data collection. Once the raw data was collected for both the recidivists and non-recidivists, each individual was assigned an “R” number if they were a recidivist or an “N” number if they were a non-recidivist, leaving out the JOMIS identifier and further ensuring confidentiality. The data was then transferred into a spreadsheet to allow for both a comparison and statistical review of the data. An ANOVA and Regression analysis was conducted on the data. A random number generator was used to equalize the “n” number of the various comparison groups.

While there were some threats to internal validity, they were minimal and will be explained in further detail. The definition of recidivist was consistent throughout the case study. For the purposes of data collection, recidivism was defined as “new offenses within two years of the date of start or release from Division of Juvenile Justice, resulting in an adjudication or conviction.” Since the list of recidivists was based on a query from an outside source, the threat

to selection bias internal validity is was reduced or nonexistent. There is also an assumption in queuing theory that arrivals happen on a random basis. Since I had no control of the arrival rates, by taking every case that arrives (for the recidivist cases) the sample can be assumed to be representative of the whole. The comparison group numbers were greater, thus random number generator determined the samples for comparison. The list of youth who were also supervised during the three year period and who did not recidivate were provided by the same outside source. Although I had to select these non-recidivists, through random assignment, from the list to provide for equal numbers and equal gender, all the youth were non-recidivists. Any selection bias internal threat to validity would be minimized because there was no benefit to the research by “choosing” one non-recidivist over the other.

The YLS/CMI and corresponding case plan did not change during the period of review nor did any policy change regarding their completion or use. While YLS/CMIs were completed by several different Probation Officers during the three year review period, all Probation Officers received the same general training on administering the YLS/CMI tool. Some Probation Officers could have made errors on the tool and either over-classified or under-classified the risk level of the youth. Even in this situation, the tool would have still identified targeted areas of criminogenic need to be addressed for each youth. However, this could be a confounding threat to internal validity if the Probation Officer did not complete the YLS/CMI correctly and subsequently did not adequately identify the criminogenic needs of the youth. While this is a possibility, there is no way to measure this threat to internal validity, but it remains a possible threat to validity. There can also be other confounding factors causing a youth to recidivate but many of those are included as criminogenic needs within the YLS/CMI tool.

Historical threats to internal validity can be present but without more an in-depth review of the offenses resulting in a youth being placed on probation, these are difficult to identify. During this time there was at least one high-profile incident involving youth who made threats to kill students at North Pole Middle School. While this could be a threat to validity, especially since it is unknown if other significant criminal high profile events occurred during this time frame, the focus of this case study is on the appropriate use of the YLS/CMI to identify criminogenic needs and those needs later being addressed on a case plan in order to reduce recidivism.

While it is known that maturation can be a threat to internal validity, and certainly that people can age out of crime, that period of maturation usually occurs after adolescence. Since youth included in this case study were between the ages of 12 and 19, for the purposes of this study, I have assumed that there is little to no maturation threat to internal validity. There was also no mortality/attrition threat to internal validity as this was a case review and therefore no subject “dropped out” of the study either voluntarily or involuntarily. Also, archived file information was reviewed for this case study and did not involve direct contact with human subjects. Therefore, there were no subjects to be aware that they were part of a study so there was no threat to compensatory rivalry internal validity.

Regression towards the mean is always a concern for internal validity. However, the sample size for this case study is small ($N=64$) but is still large enough to be significant. Had there been a larger sample size there would be more likelihood that scores for “adequate” case plans might regress towards the mean.

Experimenter bias is another threat towards internal validity and one that I was cognizant of and set up the case study from the beginning to reduce this threat. During data collection it was not known (unless the case was one of the few that I was familiar with as reoffending as an adult) if the individual was part of the recidivist or non-recidivist group. The null hypothesis identified for this case study, that there will be no difference between recidivists and non-recidivists in terms of “adequate” case plans, also minimizes threats to experimenter bias because it makes it difficult to establish larger claims than can be supported by the data. By using a null hypothesis, any bias is reduced and by its nature the null hypothesis makes Type I errors more likely than Type II errors. In other words, I’m more likely to conclude that the “treatment” was not effective when it may have been, than I am to conclude effectiveness that was not really present. Threats to diffusion internal validity were also reduced because there was no way to collect the data differently if it was not known if the individual was a recidivists or non-recidivists.

As with minimal threats to internal validity with this case study, there are also minimal threats to external validity. Many of the threats to external validity include pre and post-tests provided to test subjects, experimental treatment, and subjects knowing they are part of a study. There is no concern to these types of threats because this was a case study, which involved

archival review of case files, and no individual knew that their case file was part of the case study.

External validity of the case study can be of concern because the case study itself is limited to a specific, not generalized population; individuals who were committed a crime while a juvenile and were placed on supervised probation. The subsequent YLS/CMI assessment completion is specific to this group as it would not be a tool utilized within the general population. However, the external validity can be generalized to this specific type of population; criminal offenders. It would apply to all individuals who fit the criteria and not just those who were part of the case study.

One might question the ability to make the generalization of the findings of the case study to criminal offenders within the State of Alaska due to its uniqueness, difference in resources in smaller communities, and vast differences from one part of the state to the next. The hypothesis for the case study was based on research to reduce recidivism. The criminogenic issues identified are not unique to only one part of Alaska. For instance, one criminogenic factor, substance abuse, is a significant issue throughout Alaska. Other research based criminogenic factors such as family relationships, peer relationships, personality/behavior, and attitudes/orientations can also be generalized to the entire population of Alaska. Two criminogenic need areas could have some difficulty with generalization to criminal offenders in Alaska; education/employment and leisure/recreation. These areas are concerning to the ability to generalize to criminal offenders because of the lack of employment opportunities located in rural Alaska as well as structured recreational activities. Even without these types of resources in some areas of Alaska, the issue is still identified as a criminogenic need that can impact a person's risk to reoffend. And without services to address these criminogenic needs in some parts of Alaska, it might be difficult to generalize that addressing them on a case plan will likely lower recidivism. In general, this research should apply to a wider population, except that for those specific issues related to lack of opportunities for treatment, gainful employment, and legitimate pastime and other recreational activity. Even then, Alaska is hardly the only area underserved in any of these categories.

Testing

The Youth Level of Services/Case Management Inventory (YLS/CMI) assessment is the first testing instrument that is used in the case study. The YLS/CMI was developed by R.D. Hoge, PhD and D.A. Andrews, PhD and research on its validity has been completed by the University of Cincinnati Corrections Institute. Research has shown that both static factors (those that are related to risk and do not change) and dynamic factors (those that are related to risk and can change) are both important in assessing risk. Dynamic risk factors are also called criminogenic needs. Research has also shown that addressing these dynamic criminogenic needs can change the probability of recidivism and ultimately lead to increased public safety. By policy, this assessment tool is completed for all youth on formal probation supervision or a Held in Abeyance supervision agreement with the Division of Juvenile Justice. A blank copy of this assessment is included as Appendix #1.

The second testing instrument in the case study is the data collection sheet. The collection sheet is explained in detail in the methodology section of this paper. A blank copy of the data collection sheet is included as Appendix #2.

The last testing instrument in the case study is the Excel spreadsheet created to compile the raw data. Using this testing instrument assisted in creating comparison charts of the data as well as statistical analysis. A blank copy of the data compilation spreadsheet is included as Appendix #3.

Experimental Design/Analysis of Data

A correlation case study experimental design was chosen to test the risk-need-responsivity model and the research identifying that addressing criminogenic needs in offenders will reduce their likelihood of recidivism. To do so, a snapshot of cases from FY07, FY08, and FY09 was reviewed to compare identified YLS/CMI areas of targeted need with the corresponding case plan of both recidivists and non-recidivists. This allowed for a comparison of the data to determine if what was identified in research models to reduce recidivism correlated to what was applied in practice with offenders. While this type of experimental design can show a relationship between addressing targeted areas of criminogenic need and recidivism, the limitation is that it will not show that this is the sole reason why an individual did or did not

recidivate as there might be other factors that contributed to the outcome. Thus, it can show a correlation but not the causation.

Recall that this research set out to determine if there was a difference between those offenders who had an “adequate” case plan and supervision and those that did not have these benefits. In order to test this idea, the problem was set up as a null hypothesis, specifically that: there would be no difference between youthful offenders who had “adequate” case plans and those that did not. Unfortunately, in most comparisons, based upon the statistical analysis completed in this research, I was not able to reject the null hypothesis. In other words, there was insufficient statistical evidence to conclude that the differences between the two groups could not have occurred by chance. This was true for all categories of case plans studied except for one. In the case of dynamic risk factors, those case plans that were determined to be “adequate” had lower recidivism rates. Case plans were measured as “adequate” or “inadequate” based on the following:

“Adequate” Case Plan - had greater than 75% of the identified criminogenic needs from the YLS/CMI addressed on the case plan.

“Inadequate” Case Plan -had fewer than 75% of the identified criminogenic needs from the YLS/CMI (which included needs not identified on the YLS/CMI or associated with static risk factors) or had no case plan.

The complete analysis follows below; and, in the next section, I discuss the results and implications of these findings.

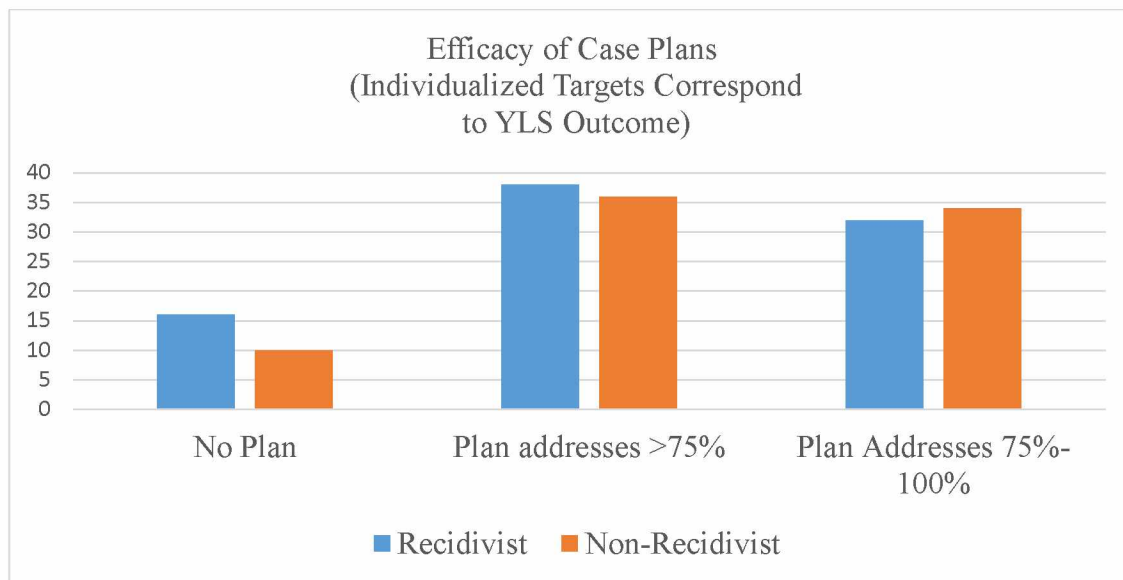


Chart #1 – Efficacy of Case Plans (Individualized Targets Correspond to YLS Outcome)

Chart #1 identifies the outcome of the case study when case plans were reviewed to identify the target areas to the individual results of the youth’s YLS/CMI assessment. For example, if a youth had an “adequate” case plan, the identified target areas of substance abuse, peer relationships, leisure and recreation, and family relationships, would correspond to areas of criminogenic need from that specific youth’s case plan. For this example, 100% of the targets would have been identified as consistent between the case plan and the YLS/CMI. However, for this example, if neither substance abuse nor family relationships were identified as criminogenic needs on the YLS/CMI, but were listed as target areas on the case plan, this specific case plan would be placed in the “plan addresses >75%” category. The area of “no plan” represents either that there was no case plan connected to the YLS or that 0% of the targets corresponded to the youth’s identified criminogenic needs from the YLS/CMI.

Specifically, Chart #1 demonstrates that non-recidivists had more instances where at least 75-100% of the targets identified on the case plan were individualized to their YLS/CMI results. In this small sample, we see that case plans were more often developed for non-recidivists that were specific to their identified criminogenic needs. As research has shown, addressing these specific needs reduces the likelihood of recidivism. The other two bars on this chart also support this research. The first set of bars represents that recidivists were more likely to either have no case plan or no individualized targets on their case plan that correspond to their YLS/CMI outcome than non-recidivists. Recidivists also had greater instances in the “less than 75%” category than non-recidivists.

The chart allows us to make some intuitive guesses about the relationship between the dependent variable (addressing criminogenic needs) and the independent variable (recidivism), statistics need to be applied to further review the data. While this analysis is satisfying in that it seems to reflect the working theory that an “adequate” case plan should result in reduced recidivism, we cannot make any definitive claims based solely on this analysis. Instead, I rely on a regression analysis and ANOVO analysis tool to evaluate whether these samples are dissimilar and whether these differences (if any are found) could result by chance. To do this, I use a null hypothesis that essentially states the two samples (e.g. “good case plans and those lacking “good plans) will be indistinguishable from each other. The mean of each and their standard deviations will overlap in such a way that we cannot determine with any great degree of certainty (95%) that the results are not explained by the existence of chance. Unfortunately, after the statistical analysis of the efficacy of case plans in comparing individualized criminogenic needs on the youth’s case plan, as noted above, in only one category was I able to reject the null hypothesis.

There is a counter argument to more non-recidivists having an “adequate” case plan than non-recidivists. Specifically, just because a target is identified on the case plan that corresponds with identified criminogenic need does not mean that the youth actually followed through with that plan and received the identified service or intervention. What is often times common in rural or even some urban parts of Alaska is that interventions or resources to address criminogenic need are not available in a community. For instance, if family relationships is a targeted criminogenic need identified on a case plan, and to participate in family therapy is an identified service or intervention, the family might either have failed to participate or no family therapy was available in the community. Unfortunately, without a more involved case study for each individual youth, it is an unknown factor for this case study. A more in-depth case study can also look further at the recidivists shown to be in the 75-100% category and how those recidivists compared to their non-recidivist counterparts. Specifically, were those recidivists less likely than the non-recidivists to have followed through with the interventions identified on their case plans to address their identified criminogenic needs?

There can be other factors as well influencing whether or not a youth will recidivate, regardless of having their criminogenic need addressed during a period of supervised probation. The YLS/CMI is an individualized assessment used to develop a case plan in cooperation with the youth and their parent(s) to address their areas of criminogenic need. This process gives

them an outside view of their life and interventions to reduce recidivism. For some, this process can put them on the road to self-reflection and internalization that addressing these issues can benefit their future. The interventions identified to address the criminogenic needs can also add to the process of self-reflection. Youth can decide not to reoffend after seeing someone hurt by their behavior or any other number of factors as unique to that youth as the results of the YLS/CMI. As stated previously, this type of case study is not showing that failure to address a youth's criminogenic needs is the causation for recidivism, but rather that correlation between addressing criminogenic needs and the likelihood of reduced recidivism.

Also important from the case study is that dynamic factors are also addressed on case plans more frequently for non-recidivists than recidivists. Addressing static risk factors (those that cannot change) on a case plan have shown to have no effect on reducing recidivism, therefore an individual who has dynamic factors addressed on their case plan will be less likely to recidivate. However, as identified in the research, those dynamic risk factors (criminogenic needs) should correspond to the outcome of a validated risk assessment.

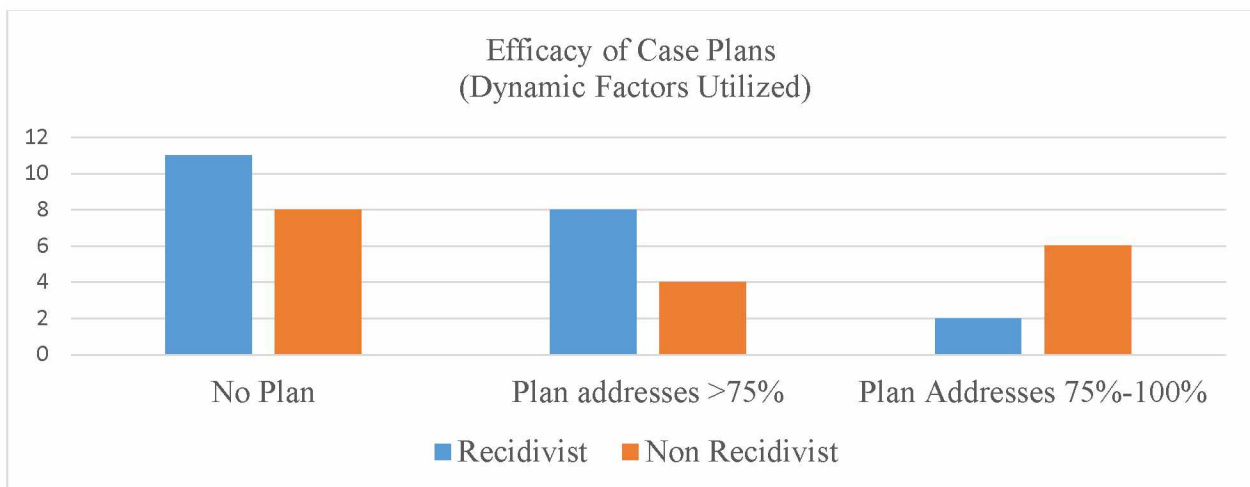


Chart #2 – Efficacy of Case Plans (Dynamic Factors Utilized)

Chart #2 identifies the outcome of the case study when case plans were reviewed to identify whether the target areas of criminogenic need on the case plan were based on dynamic needs, those that can change, and subsequently reduce recidivism. The most frequent instance of static factors being addressed on the case plan was when the criminogenic area of “offense history” was addressed with an action plan of a youth “following all their conditions of probation.” While offense history is certainly a factor in identifying risk, it is a static risk factor,

one that cannot be changed. Dynamic factors are important in case planning because the Probation Officer needs to ensure that the attention they are focusing on a specific target is something that can actually change and in turn reduce the likelihood of recidivism.

Chart #2 supports this position, just like with Chart #1, in that recidivists were more likely to have static risk factors addressed on their case plans or no case plan connected to the YLS than non-recidivists. Further, recidivists had more instances of less than 75% of their targets addressing dynamic factors and fewer instances where 75-100% of their targets were based on dynamic factors. Again asking the question, if a target is not based on a dynamic factor, what is expected to “change” in the youth’s behavior and subsequent reduction of recidivism? Unlike the other areas of the case study, the statistical analysis of the efficacy of case plans when high quality plans using dynamic factors were compared to youth having no plan was able to reject the null hypothesis.

Risk level of an offender is important for justice practitioners to appropriately identify supervision levels as well as identify appropriate interventions. For example, research has shown that exposing low risk youth to higher risk youth can actually increase the likelihood of recidivism for the low risk offenders. The chart below looks at the YLS/CMI risk level upon first entering the Division of Juvenile Justice.

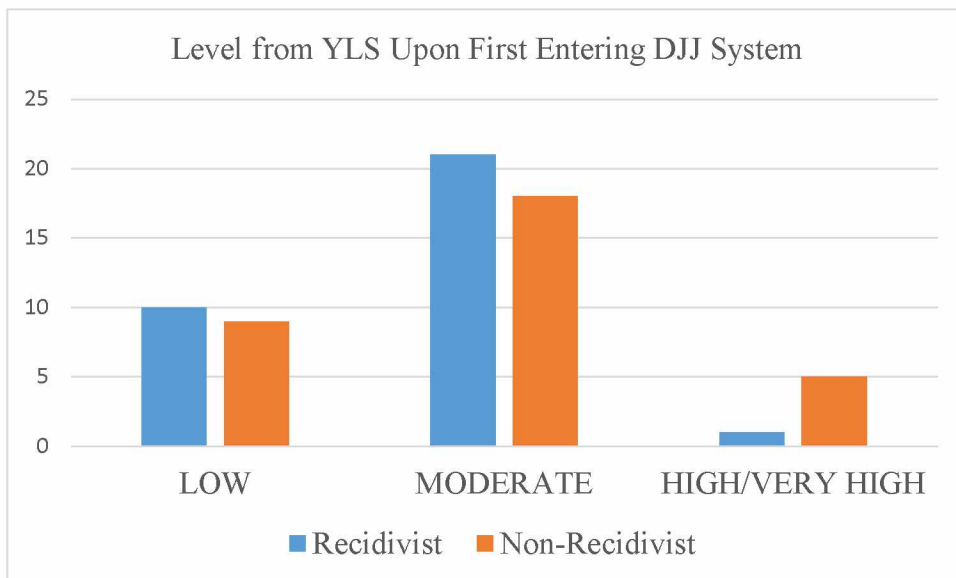


Chart #3 – YLS/CMI Risk Assessment Score upon First Entering the Division of Juvenile Justice system

Chart #3 is interesting as a juvenile justice practitioner because it opens up the question of “net widening” in the juvenile justice system as well as allocated resources being spent on low

risk offenders where more focus, due to the risk to the community, should be on higher risk offenders. From the case study, ten of the thirty-two recidivists were low risk offenders (31.25%) upon the first administration of the YLS versus nine of the thirty-two recidivists who were low risk offenders (28.12%). This is actually a significantly high number for both although higher for recidivists. What is also interesting is that five non-recidivists out of thirty-two (15.6%) versus one out of thirty-two (3%) recidivists scored at a high level upon entering the juvenile justice system. These high risk individuals should be those appropriately entering the juvenile justice system. In the case study, high risk youth also had more instances of case plan target areas correlating to the individual YLS.

Chart #3 also shows there were ten recidivists and nine non-recidivists entering the DJJ system during the three year period of the case study and scored as low risk to reoffend. Evidence has shown that even with no intervention whatsoever, low risk individuals will usually not reoffend. The question could be raised “wouldn’t that mean there should have been more non-recidivists to support that position?” Two potential explanations are that first, those low risk offenders who became recidivists were brought into the system and made worse through either interventions, over-supervision, or placement into residential treatment programs with higher risk kids. Or second, as previously stated, that even though there were nine low risk non-recidivists, regardless of the interventions they received they would have a greater chance to not reoffend anyway. So while these are two arguments, one for and one against net-widening based on the data in chart #3, with an N=19, there is a lack of strong statistical support but rather the data points towards a need for additional research with a larger samples size.

The chart below breaks down the “adequate” case plans data review but solely for high or very high risk youth. For youth identified as non-recidivists, these high risk youth had more instances than recidivists where 75-100% of their target areas on their case plans directly corresponded with their YLS outcome.

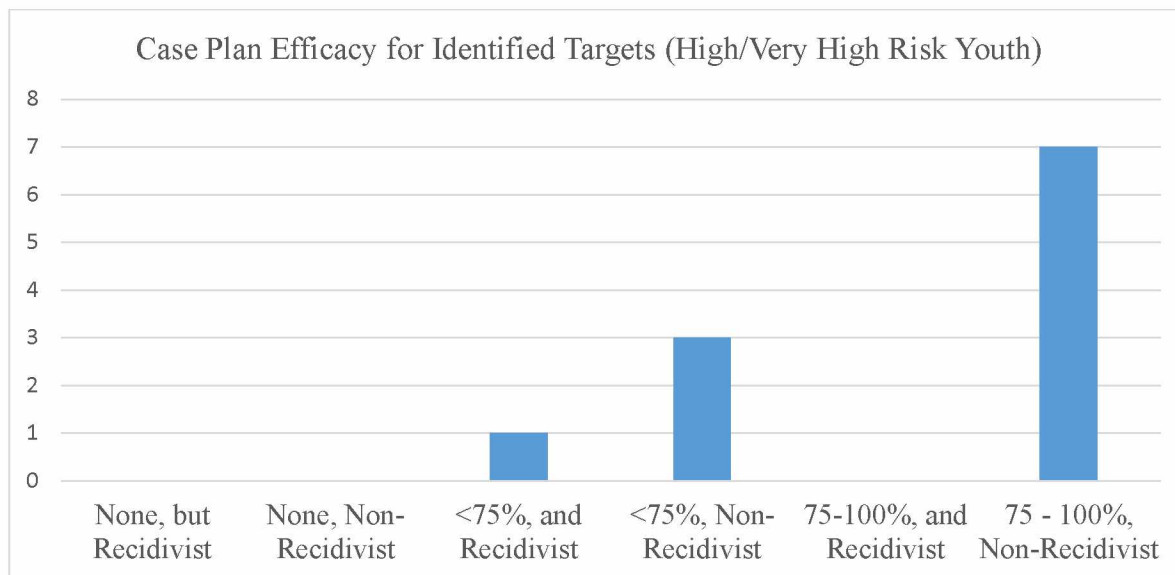


Chart #4 – Case Plan Efficacy for Identified Targets (High/Very High Risk Youth)

Important findings from the data in Chart #4 identify that for high or very high risk youth, addressing a greater number of targeted areas of criminogenic need from the assessment has a greater likelihood of reducing recidivism. Of course, as the data begins to break down into more specific detail, the N=11 case plans for this chart, does not provide the statistical support needed but rather points to the need for further research with a larger sample size of youth assessed as high or very high risk.

Another chart to support a concern for net-widening is below and shows the risk level of youth when an “other” type of case plan was used. As research has shown, placing low risk youth into placements such as residential treatment with moderate to high risk youth (the chart below also shows that the majority of youth in residential care did fit these categories) can actually increase their likelihood of re-offense. As previously noted, an “other” type of case plan identifies a youth who was placed in a residential placement and that program’s case plan was used to address criminogenic needs for the youth. It is important to remember that these are based on YLS levels associated with a specific case plan and is not the total number of youth.

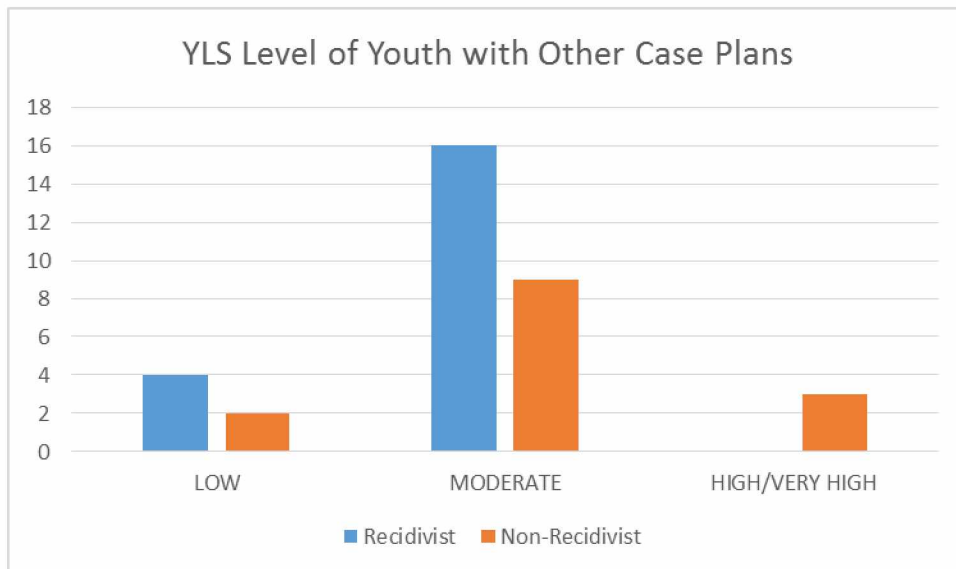


Chart #5 – YLS Level of Youth with Other Case Plans

What is concerning from the comparison identified in Chart #5 is that, although there is a small number of “other” type of case plans (for both recidivists and non-recidivists) for low risk youth, there are twice as many case plans associated with recidivists and placed in residential care than non-recidivists. Some of the crime theories addressed in the Literature Review section, such as Social Learning Theory and Labeling Theory, also support this claim. The Social Learning Theory is that people learn to commit crimes and are motivated to do so by those with whom they associate. Also, that people learn through their interactions with significant groups or individuals in their lives (Akers, 1979). Howard Becker’s Labeling Theory, presents that the label of a criminal status on a person may increase the likelihood that an individual will become involved in a deviant subgroup or that that label would become a “self-fulfilling prophecy” (Bernburg et al., 2006). Again looking at net-widening, even drawing low risk youth into the juvenile justice system after a single incident of primary deviance (regardless of placement into a residential program with higher risk youth) can increase the likelihood that the youth will begin to identify themselves as a delinquent and increase their likelihood for recidivism. They can also be labeled as delinquent by others who know they are associated with the juvenile justice system (parents of a friend, school officials, coaches, etc.) and further reinforce the “delinquent” behavior initiating secondary deviance.

Another significant finding from the case study looks at risk level of youth when residential case plan was developed but also includes the “adequate” case plan comparison (similar to Chart #1). Not only does this make one think about the ramifications, as research

shows, when low risk youth are exposed to higher risk youth in residential settings, but also that when a youth is placed in residential care, the program should be working on the identified criminogenic needs of that youth. If the program is not addressing the criminogenic needs of that youth, is there truly a belief that those youth will benefit from treatment and not recidivate after release.

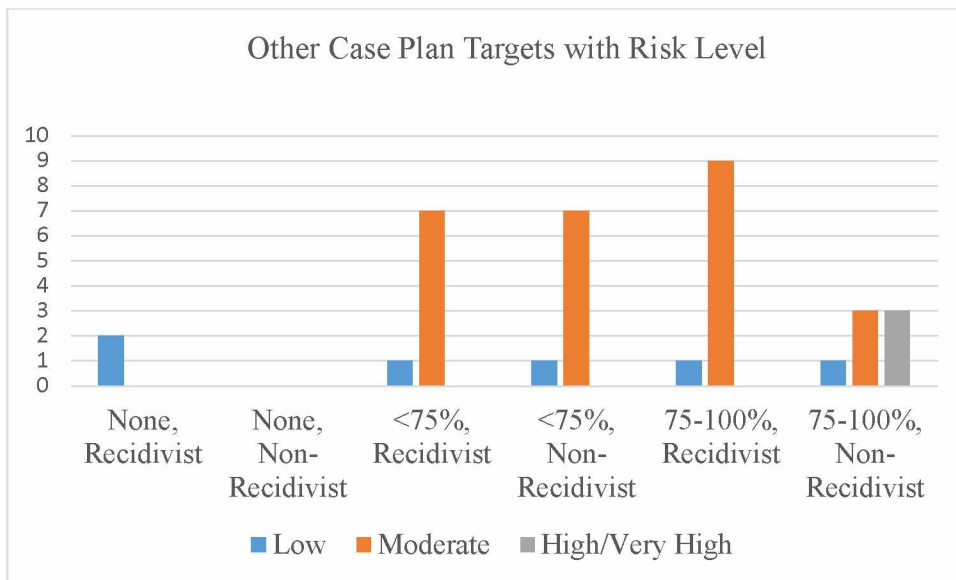


Chart #6 – Other Case Plan Targets with Risk Level

An alarming finding displayed in Chart #6 is that for low-risk youth, two case plans of recidivists in residential treatment had no identified targets on their case plan that correlated to the identified YLS/CMI criminogenic needs. Case plans of non-recidivists who were low risk were spread out between the remaining categories of targets less than 75% and 75-100% of their targets on the case plan correlating to the identified YLS/CMI criminogenic needs. One interesting fact shown in Chart #6 with the gray bar is that the three case plans of high risk youth entering residential care each had 75-100% of their case plan targets corresponding to their YLS results, and these youth did not recidivate. I believe this tends to support the idea that these high risk youth were appropriately placed into residential care and while in residential care, attempts were made to address their criminogenic needs, therefore contributing to their lack of recidivism. As this “adequate” case plan chart is broken down to identify only case plans of youth placed in residential care, there is concern that the N=35 is reduced as well, limiting the strength of the findings from this part of the case study.

The case study identified that there were low risk youth placed into residential care who were both recidivists and non-recidivists. As identified previously, there were low risk youth, placed in residential treatment, which had no targets on their case plan and directly corresponded to the outcome of their YLS assessment.

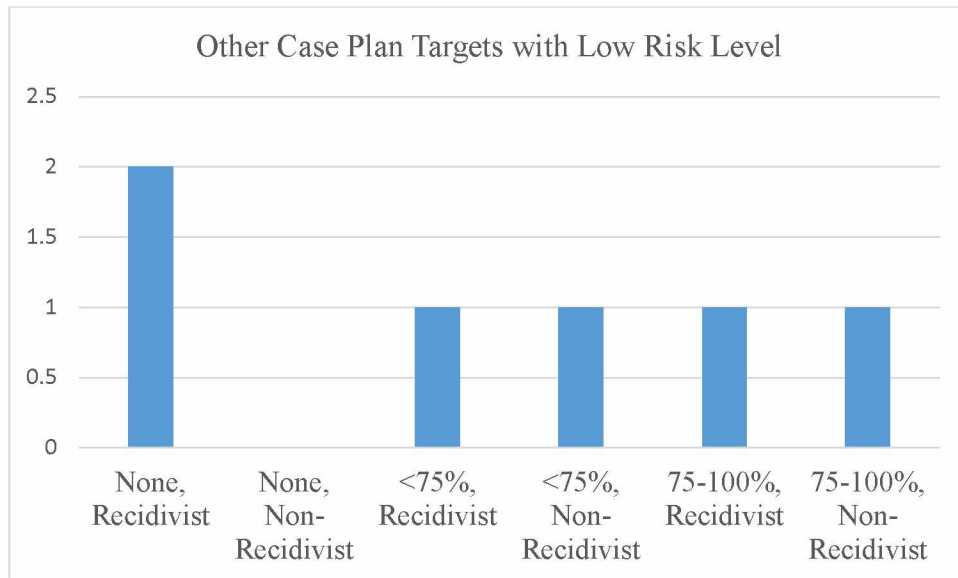


Chart #7 – Other Case Plan Targets with Low Risk Levels

For this finding of the case study, Chart #7 looks solely at the case plans of low risk offenders, placed in residential care, and compares youth having an “adequate” case plan. Admittedly, N=6 in this chart is a relatively low number to draw a strong conclusion but does identify that the concern exists for low risk youth in residential care and a potential lack of appropriate case planning, which includes addressing identified criminogenic needs from their individual YLS/CMI. For example, low risk kids in residential care provide for greater exposure to higher risk individuals. With this exposure, coupled with poor case planning to address identified areas of criminogenic need, do we actually create an even greater likelihood of recidivism? Additional research in this area can be beneficial to the Division of Juvenile Justice as an additional tool to monitor quality assurance of treatment of youth placed in residential care.

A counter argument can be made in the area of net-widening with this case study. Not against net-widening in general but the question of whether or not the youth’s assessment was done accurately by the administering Probation Officer and those youth were more accurately moderate youth to begin with when they entered into the DJJ system. Or, were there more youth who were actually low risk offenders but were assessed at a higher level of risk because of issues

with inter-rater reliability? The Division of Juvenile Justice has implemented quality assurance training for approximately the last three years in order to improve inter-rater reliability.

Conclusion and Recommendations

The Fairbanks Juvenile Recidivism Case Study was based primarily on the research of the Risk-Need-Responsivity model of assessment and rehabilitation (Andrews, Bonta & Hoge). The initial step in this model is the use of a validated assessment tool to identify risk and needs of offenders. This validated assessment within the case study was the Youth Level of Services/Case Management Inventory (developed by R.D. Hoge, PhD and D.A. Andrews, PhD). This assessment not only looks at community protection risks and subsequent supervision standards, it also assists the justice professional in identifying the youth's criminogenic needs. As the research has shown that both static factors (those that are related to risk and do not change) and dynamic factors (those that are related to risk and can change) are both important in assessing risk, dynamic factors are those that, when addressed, will reduce the likelihood of recidivism.

In identifying the hypothesis for the case study, the following logic was utilized. First, that juvenile offenders supervised by the Division of Juvenile Justice are assessed using a validated tool identifying their criminogenic needs. Case plans are then developed to address those criminogenic needs. Addressing criminogenic needs of offenders has shown to reduce their likelihood of reoffense. Therefore, it can be concluded that offenders who have more criminogenic needs addressed on their case plans specific to their individual assessment will be less likely to recidivate and offenders who have less criminogenic needs addressed on their case plan specific to their individual assessment will be more likely to recidivate. This logic can also answer the problem statement of "what works" when supervising youth offenders?

The main ideas I have concluded from this case study are that; 1) youth with few criminogenic needs, when left out of the juvenile justice system, should result in little to no cases of re-offense, 2) placing those youth with few criminogenic needs in custody or treatment increases their risk for secondary deviance as a result of labeling or learning additional criminal skills, behaviors, beliefs, and justifications, and in turn increasing the likelihood of re-offense, 3) greater numbers of criminogenic needs, which are actually addressed by a plan, should result in fewer cases of recidivism because the probation officer is actually providing a service to the

offender by helping him/her overcome his/her unique issues, and 4) gut feelings of probation officers are not superior to, nor substitute for, a risk assessment and case planning to address areas of criminogenic need.

Except in one instance, I did not find statistical support for these notions, but much of that can be shown to be an artifact of having too few subjects to study. While I failed to statistically prove much, that doesn't mean I would recommend rejecting any of these main ideas because the tabular data provided still suggests the ideas have merit. Given this, here are my recommendations:

- That the Division of Juvenile Justice measure the effectiveness of quality assurance training on the YLS/CMI tool through a similar three year (or greater for a larger N sample and statistical analysis) case study to determine if there is an improved amount of case plans addressing criminogenic needs of offenders.

In April 2012, the Division of Juvenile Justice implemented quality assurance planning in the use of the YLS/CMI with all Probation Officers. This included yearly training to improve interrater reliability with the assessment tool, and within the last two years, placed a greater emphasis on case planning for youth corresponding to the YLS/CMI outcome. This quality assurance did not commence until after the cases included in the case study had closed. Because of the quality assurance implementation, the Division of Juvenile Justice should begin to see a reduction in recidivism rates of youth supervised on probation based on the research linking addressing criminogenic needs to reduction in the likelihood of reoffense. A case study similar to this would assist in identifying those improvements.

- That future research, such as this case study, examine additional factors such as whether a youth lived in rural or urban Alaska and whether or not individuals followed through with identified intervention on their case plan.

Reviewing whether or youth lived in rural or urban Alaska will assist in identifying services needed in rural Alaska to address criminogenic needs of youth. Further, determining if youth actually followed through with the interventions on their case plans is important. It is not adequate to simply create a case plan and then never follow-up to determine if the youth and/or family is participating in the intervention. Not only is this inadequate but it is also not truly

addressing the area of criminogenic need; it is merely being addressed on paper but not in practice. Also important is whether there were barriers that prevented the youth from obtaining the intervention and might have been overlooked during the case planning process.

- That the Division of Juvenile Justice revisit the policy on administration of the YLS/CMI in order to prevent net-widening for youth in the juvenile justice system.

Low risk offenders entering the justice system creates concern for net-widening due to exposure to higher risk offenders, over supervision, and/or inappropriate interventions such as residential care. There is also concern that time and energy is spent on low risk offenders when it should be spent on higher risk offenders. The current policy requires administration of the YLS/CMI after the youth has been adjudicated through the formal court process and many times after there is already an agreement for disposition (the same as sentencing in the adult system). This is too late to reduce the possibility of net-widening. Also, there are many times that residential treatment has already been determined appropriate for these youth who are later identified to be low risk by the YLS/CMI.

- Improve residential case planning and provide greater quality assurance of case plans used by Out-Of-Home residential providers to ensure identified criminogenic needs are being addressed.

If youth are placed in residential treatment program to improve their behavior and reduce the likelihood that they will reoffend, shouldn't the results of the YLS/CMI be shared with the residential provider to ensure those issues are being addressed? While the residential provider would hopefully be completing their own intake assessments for the youth, the results of YLS/CMI, a validated risk assessment to identify criminogenic needs, should be shared in order to maximize the potential for reduced recidivism. Probation Officers who are assigned to the youth should refer to the YLS/CMI at each case planning meeting to ensure criminogenic needs are being addressed. Addressing these criminogenic needs is not only important on a Division of Juvenile Justice case plan but every case plan prepared for that youth. It is hard to expect that the youth will not reoffend after release from a residential treatment program if their identified criminogenic needs have not been addressed.

While we may never be able to predict or prevent recidivism 100% with any offender, adult or juvenile, utilizing available research is important to increase that likelihood. It doesn't make sense to have identified research based tools and interventions and not use them. Worse, it makes no sense to utilize the tools, such as a validated risk assessment, and then not use the results of those tools to assist offenders in improving outcomes in their lives. As justice professionals, we have an opportunity to not only assist offenders to improve their lives but also to protect the public from re-offense in the process. We should always be cognizant of what we are doing, professionally or systemically, which is actually doing more harm than good for both the offender and the safety of the public. Once we have identified those harms, it is our responsibility to identify a plan to address them. My recommendations in this research paper are just a small number of things we can do to reduce that harm.

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ⁱⁱ <https://go.dhss.ak.local/djj/home/DP/Forms/AllItems.aspx?RootFolder=%2Fdjj%2Fhome%2FDP%2FFolder%20Docs%20to%20Save&FolderCTID=0x012000C96C1B147A431A45B4DE9ED9860EBB48&View={3EA66EEA-AE74-4FD3-8EE1-01E4E7079708}&InitialTabId=Ribbon%2EDocument&VisibilityContext=WSSTabPersistence>, State of Alaska, Division of Juvenile Justice, non-public website, FY2014 Average Cost Per Day for Probation Services.

ⁱⁱⁱ <https://go.dhss.ak.local/djj/home/DP/Forms/AllItems.aspx?RootFolder=%2Fdjj%2Fhome%2FDP%2FFolder%20Docs%20to%20Save&FolderCTID=0x012000C96C1B147A431A45B4DE9ED9860EBB48&View={3EA66EEA-AE74-4FD3-8EE1-01E4E7079708}&InitialTabId=Ribbon%2EDocument&VisibilityContext=WSSTabPersistence>, State of Alaska, Division of Juvenile Justice, non-public website, FY2014 Average Cost Per Day Based on Capacity.

^{iv} <http://dhss.alaska.gov/djj/Pages/GeneralInfo/mission.aspx>, Division of Juvenile Justice website.

^v http://dhss.alaska.gov/djj/Pages/GeneralInfo/information/stats_FY2013/FY13_MPD.aspx, statistical information for FY13 from Division of Juvenile Justice website.

Appendix

Appendix #1 – Youth Level of Services/Case Management Inventory

Appendix #2 – Data Collection Sheet Example (2 pages)

Appendix #3 – Data Collection Spreadsheet Example (2 pages)

THE YOUTH LEVEL OF SERVICE / CASE MANAGEMENT INVENTORY
ROBERT D. HOGE & D.A. ANDREWS, CARLETON UNIVERSITY

Name:

Date of Birth:

PART I: ASSESSMENT OF RISKS AND NEEDS

1. Prior and Current Offenses, Adjudications

Comments (includes source of information)

- a. Three or more adjudications: ☐
b. Two or more failures to comply: ☐
c. Prior probation: ☐
d. Prior custody: ☐
e. Three or more current adjudications: ☐

Total _____

Strength ☐

Risk Level:

- Low (0)
Moderate (1-2)
High (3-5)

2. Family Circumstances and Parenting

Comments (includes source of information)

- a. Inadequate supervision: ☐
b. Difficulty controlling behavior: ☐
c. Inappropriate discipline: ☐
d. Inconsistent parenting: ☐
e. Poor relations/father-child: ☐
f. Poor relations/mother-child: ☐

Total _____

Strength ☐

Risk Level:

- Low (0-2)
Moderate (3-4)
High (5-6)

3. Education/Employment

Comments (includes source of information)

- a. Disruptive classroom behavior: ☐
b. Disruptive behavior on school property: ☐
c. Low achievement: ☐
d. Problems with peers: ☐
e. Problems with teachers: ☐
f. Truancy: ☐
g. Unemployment/not seeking employment: ☐

Total _____

Strength ☐

Risk Level:

- Low (0)
Moderate (1-3)
High (4-7)

THE YOUTH LEVEL OF SERVICE / CASE MANAGEMENT INVENTORY
ROBERT D. HOGE & D.A. ANDREWS, CARLETON UNIVERSITY

PART I: ASSESSMENT OF RISKS AND NEEDS

4. Peer Relations

- a. Some delinquent acquaintances: ☐
- b. Some delinquent friends: ☐
- c. No or few positive acquaintances: ☐
- d. No or few positive friends: ☐

Total _____

Strength ☐

Risk Level:

Low (0-1)
Moderate (2-3)
High (4)

Comments (includes source of information)

5. Substance Abuse

- a. Occasional drug use: ☐
- b. Chronic drug use: ☐
- c. Chronic alcohol use: ☐
- d. Substance abuse interferes with life: ☐
- e. Substance abuse linked to offense: ☐

Total _____

Strength ☐

Risk Level:

Low (0)
Moderate (1-2)
High (3-5)

Comments (includes source of information)

6. Leisure/Recreation

- a. Limited organized activities: ☐
- b. Could make better use of time: ☐
- c. No personal interests: ☐

Total _____

Strength ☐

Risk Level:

Low (0)
Moderate (1)
High (2-3)

Comments (includes source of information)

THE YOUTH LEVEL OF SERVICE / CASE MANAGEMENT INVENTORY
ROBERT D. HOGE & D.A. ANDREWS, CARLETON UNIVERSITY

PART I: ASSESSMENT OF RISKS AND NEEDS

7. Personality and Behavior

- a. Inflated self-image: ☐
- b. Physically aggressive: ☐
- c. Tantrums: ☐
- d. Short attention span: ☐
- e. Poor frustration tolerance: ☐
- f. Inadequate guilt feelings: ☐
- g. Verbally aggressive, impudent: ☐

Total _____

Strength ☐

Risk Level:

- Low (0)
- Moderate (1-4)
- High (5-7)

Comments (includes source of information)

8. Attitudes/Orientation

- a. Antisocial / pro-criminal attitudes: ☐
- b. Not seeking help: ☐
- c. Actively rejecting help: ☐
- d. Defies authority: ☐
- e. Callous, little concern for others: ☐

Total _____

Strength ☐

Risk Level:

- Low (0)
- Moderate (1-3)
- High (4-5)

Comments (includes source of information)

PART II: SUMMARY OF RISK AND NEEDS FACTORS

Prior and current offenses	Family	Education	Peers	Substance Abuse	Leisure and Recreation	Personality and Behavior	Attitudes and Orientation	Overall Total Scores
SCORES								
Low								
Middle								
High								

Overall total: _____

☐ **Low (0 – 8)**

☐ **Moderate (9 – 22)**

☐ **High (23 – 34)**

☐ **Very High (35 – 42)**

THE YOUTH LEVEL OF SERVICE / CASE MANAGEMENT INVENTORY
ROBERT D. HOGE & D.A. ANDREWS, CARLETON UNIVERSITY

PART III: ASSESSMENT OF OTHER NEEDS / SPECIAL CONSIDERATIONS

1. Family/Parents

- | | | |
|---|---|--|
| <input type="checkbox"/> Chronic history of offenses | <input type="checkbox"/> Financial/Accommodation problems | <input type="checkbox"/> Abusive mother |
| <input type="checkbox"/> Emotional Distress/psychiatric | <input type="checkbox"/> Uncooperative parents | <input type="checkbox"/> Significant family trauma (specify) |
| <input type="checkbox"/> Drug-alcohol abuse | <input type="checkbox"/> Cultural/Ethnic issues | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Marital conflict | <input type="checkbox"/> Abusive father | |

Comments:

2. Youth

- | | | |
|---|---|--|
| <input type="checkbox"/> Chronic history of offenses | <input type="checkbox"/> Financial/Accommodation problems | <input type="checkbox"/> Abusive mother |
| <input type="checkbox"/> Emotional Distress/psychiatric | <input type="checkbox"/> Uncooperative parents | <input type="checkbox"/> Significant family trauma (specify) |
| <input type="checkbox"/> Drug-alcohol abuse | <input type="checkbox"/> Cultural/Ethnic issues | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Marital conflict | <input type="checkbox"/> Abusive father | |

Comments:

PART IV: YOUR ASSESSMENT OF THE CLIENT'S RISK / NEED LEVEL

Taking into account all available information, provide your estimate of the risk level for this case. If your risk estimation differs from that of the inventory, please provide reasons why.

- ☐ Low
☐ Moderate
☐ High
☐ Very High

Reasons:

THE YOUTH LEVEL OF SERVICE / CASE MANAGEMENT INVENTORY
ROBERT D. HOGE & D.A. ANDREWS, CARLETON UNIVERSITY

PART V: CONTACT LEVEL

Administrative/Paper
Minimum Supervision
Medium Supervision
Maximum Supervision

☐
☐
☐
☐

Comments: (note placement considerations and court conditions.)

INTAKE OFFICER'S SIGNATURE AND DATE

PART VI: CASE MANAGEMENT PLAN

Targets – Criminogenic Need	Goal	Objectives for Reaching Goal	Date reviewed	Complete Yes / No
1.				
2.				
3.				
4.				

THE YOUTH LEVEL OF SERVICE / CASE MANAGEMENT INVENTORY
ROBERT D. HOGE & D.A. ANDREWS, CARLETON UNIVERSITY

RISK / NEED ASSESSMENT – CASE MANAGEMENT REVIEW

Youth Name _____ Case Management Review Date: _____

Changes in Risk / Needs Levels:

Please record the Risk Level Scores from the previous intake or Case Management Review form and then indicate changes that have taken place in those areas:

	Prior Risk				Changes in Risk Level		
	Low	Moderate	High		Low	Moderate	High
Offenses/Adjudications							
Family Factors							
Education							
Peer Relations							
Substance Abuse							
Leisure and Recreation							
Personality							
Attitudes / Orientation							

JOMIS ID#: _____

Page: _____

YLS Reassessment Score: _____ Level: _____ Override to Level?: Yes No

Completed on time? Yes No

Placement at that time: _____

Top Four Areas of Risk	Offense/Dispositions	Education/Employment
	Family/Parenting	Peer Relationships
	Personality/Behavior	Attitudes/Orientations
	Substance Abuse	Leisure/Recreation

Case plan for above YLS?	Yes	No	Completed on time?	Yes	No
	DJJ	Other			

1st risk area on plan:	_____	
Goals based on dynamic risk factor?	Yes	No
Correspond with YLS outcome?	Yes	No

2nd risk area on plan:	_____	
Goals based on dynamic risk factor?	Yes	No
Correspond with YLS outcome?	Yes	No

3rd risk area on plan:	_____	
Goals based on dynamic risk factor?	Yes	No
Correspond with YLS outcome?	Yes	No

4th risk area on plan:	_____	
Goals based on dynamic risk factor?	Yes	No
Correspond with YLS outcome?	Yes	No

Services Identified: _____

Provided?	Yes	No	If no which ones: _____
Reason for Non-Compliance:	DJJ	Parent	Minor
	Other: _____		

PTR filed for non-compliance? Yes No

Recidivism Case Study Data Collection Spreadsheet

[illegible]

REASSESSMENT Top For Areas of Risk	Risk Level According to YLS:	Reassessment Score	Risk Level Override by PO?	Case Plan Type	Number of target areas on case plan:	Number of target areas which are dynamic:	Number of target areas which correspond with YLS:
REASSESSMENT Top Four Areas of Risk	Risk Level According to YLS:	Reassessment Score	Risk Level Override by PO?	Case Plan Type	Number of target areas on case plan:	Number of target areas which are dynamic:	Number of target areas which correspond with YLS: